



## IAPD Report

# PETER LOUIS VESCOVI

CRD# 4567338

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Please contact FINRA with any concerns.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### **Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### **Are there other resources I can use to check the background of investment professionals?**

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### PETER LOUIS VESCOVI (CRD# 4567338)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/15/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	08/15/2025
B	REGULUS FINANCIAL GROUP, LLC	CRD# 150631	08/15/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	STRATEGIC ADVISERS LLC	104555	BOSTON, MA	03/31/2025 - 04/08/2025
B	FIDELITY BROKERAGE SERVICES LLC	7784	WESTLAKE, TX	06/18/2012 - 04/08/2025
IA	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	ARLINGTON, TX	07/13/2018 - 03/31/2025

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**No**



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **REGAL INVESTMENT ADVISORS LLC**  
Main Address: 2687 44TH STREET SE  
KENTWOOD, MI 49512  
Firm ID#: 125004

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	08/15/2025

#### Branch Office Locations

**REGAL INVESTMENT ADVISORS LLC**  
1910 Pacific Ave  
Suite 2000  
Dallas, TX 75201

#### Employment 2 of 2

Firm Name: **REGULUS FINANCIAL GROUP, LLC**  
Main Address: 2687 44TH STREET, SE, SUITE 101  
KENTWOOD, MI 49512  
Firm ID#: 150631

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/15/2025
B	Connecticut	Agent	Approved	08/15/2025
B	Texas	Agent	Approved	08/15/2025

#### Branch Office Locations

1910 Pacific Ave  
Ste 2000  
Dallas, TX 75201



## Qualifications



### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination (S31)	Series 31	10/16/2002
<b>B</b> General Securities Representative Examination (S7)	Series 7	09/25/2002

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	12/02/2002



### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/31/2025 - 04/08/2025	STRATEGIC ADVISERS LLC	CRD# 104555	BOSTON, MA
B	06/18/2012 - 04/08/2025	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	WESTLAKE, TX
IA	07/13/2018 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	ARLINGTON, TX
IA	06/29/2012 - 07/13/2018	STRATEGIC ADVISERS LLC	CRD# 104555	WESTLAKE, TX
B	12/20/2011 - 06/02/2012	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	ROANOKE, TX
IA	12/09/2011 - 06/02/2012	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	ROANOKE, TX
IA	07/11/2007 - 12/09/2009	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	CHESHIRE, CT
B	07/11/2007 - 12/09/2009	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	CHESHIRE, CT
IA	10/24/2005 - 12/05/2005	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	SCHAUMBURG, IL
B	10/24/2005 - 12/05/2005	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	SCHAUMBURG, IL
B	09/08/2004 - 10/24/2005	C. J. M. PLANNING CORP.	CRD# 5698	POMPTON LAKES, NJ
IA	09/08/2004 - 10/24/2005	C.J.M. ASSET MANAGEMENT, LLC	CRD# 111302	POMPTON LAKES, NJ
IA	12/03/2002 - 07/31/2003	MORGAN STANLEY	CRD# 7556	NEW HAVEN, CT
B	09/26/2002 - 07/31/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY



## Registration & Employment History



### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2025 - Present	Regal Investment Advisors	Investment Advisor	Y	Kentwood, MI, United States
08/2025 - Present	Regulus Financial Group	Registered Representative	Y	Kentwood, MI, United States
05/2025 - 07/2025	Unemployed	Unemployed	N	Arlington, TX, United States
03/2025 - 04/2025	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
07/2018 - 04/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	Mass Transfer	Y	BOSTON, MA, United States
05/2012 - 04/2025	FIDELITY INVESTMENTS	INVESTMENT SOLUTIONS REP.	Y	WESTLAKE, TX, United States



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Business Name: PETR Ventures, LLC DBA PV Strategic - Investment Related: No - Address: 3507 Lake Tahoe Dr, Arlington, TX 76015 - Nature of Business: Business Consulting - Title or Relationship: President - Start Date: 01/2023 - Hours per month: 10-12 - Hours per month during trading hours: 4-8 - Duties: Strategic Consulting for businesses

Business Name: Good Bookkeeping - Investment Related: No - Address: 3507 Lake Tahoe Dr, Arlington, TX 76015 - Nature of Business: Bookkeeping sales - Title or Relationship: Sales - Start Date: 04/2025 - Hours per month: 5-8 - Hours per month during trading hours: 4-5 - Duties: Sales of GBK & services

Business Name: Author/Speaker - Investment Related: No - Address: 3507 Lake Tahoe Dr, Arlington, TX 76015 - Nature of Business: Writing and Speaking - Title or Relationship: Author - Start Date: 4/2025 - Hours per month: 10-12 - Hours per month during trading hours: 0 - Duties: Author/speaker



## End of Report

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